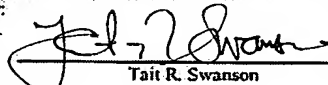




IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Daniel T. Thompson et al. §  
Serial No.: 10/716,763 §  
Filed: November 19, 2003 §  
For: Computer Server Hot Plug Fan Tray Assembly And Method Of Fan Removal §  
Group Art Unit: 2835  
Examiner: Datskovskiy, Michael V.  
Atty. Docket: 200302326-2  
NUHP:0101--1/FLE/SWA/FAR

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF TRANSMISSION OR MAILING 37 C.F.R. 1.8	
I hereby certify that this correspondence is being transmitted by facsimile to the United States Patent and Trademark Office in accordance with 37 C.F.R. 1.6(d) or is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date below:	
March 17, 2005 Date	 Tait R. Swanson

Sir:

**DECLARATION OF ERIK R. NIELSEN UNDER 37 C.F.R. § 1.131**

I, Erik R. Nielsen am co-inventor together with Daniel T. Thompson, and hereby declare as follows:

1. I am a co-inventor of record of the invention disclosed and claimed in the above-referenced application.
2. My residence and business addresses are set forth below, along with my signature.
3. We conceived the subject matter disclosed and claimed in the above-referenced application prior to June 29, 2001. This conception is evidenced by a printout of an electronic message (email) prepared and electronically transmitted prior to June 29, 2001, and having an electronically attached zip file of computer-generated model pictures of an embodiment of the invention. See Exhibit A. The depicted file name of the zip file is

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"GARdian\_SnapShots.zip." *Id.* Further, the depicted text in the body of the e-mail refers to the zip file attachment as a "snapshot's [sic] taken from the GARdian Assembly." *Id.* A redacted printout of this e-mail, and a printout of one of the model pictures attached in the zip file are enclosed as Exhibits A and B, respectively. *See* Exhibits A and B. For purposes of clarity, numerical labels have been added to this printout of the model picture. *See* Exhibit B. This model picture illustrates an embodiment of the claimed subject matter, including a device housing or device chassis 10 of an electronic device (e.g., computer, rack server, etc.) and a fan tray or fan chassis 12 configured to support multiple fans 14. *See id.* The illustrated fan chassis 12 is inserted only partially within the illustrated device chassis 10. *See id.* Thus, in the model photo, the fan chassis 12 is depicted in an extended or extracted position. *See id.* The illustrated fan chassis 12, and the components thereon, are movable between an installed position (not shown) and an extended or extracted position (shown). *See id.* Furthermore, the fan chassis 12 has slots and/or supports for receiving and supporting multiple fans 14. In the embodiment of the model picture, the fans 14 are removable from the side of the fan chassis 12. *See id.* Moreover, a substantially or partially open back (not shown) of the fan chassis 12, and the illustrated perforations 16 on the front 18 of the fan chassis 12, facilitate airflow through the chassis 12 and into the device housing 10 of the electronic device, whether the fan chassis 12 is in the installed position (not shown) or an extended position (shown). *See id.*


4. The subject matter disclosed and claimed in the above-referenced application was actually reduced to practice in the United States prior to June 29, 2001 under my direction and the direction of my co-inventor, Daniel T. Thompson. This actual reduction to practice is evidenced by Exhibit C, which includes a redacted copy of a packing slip showing three completed prototypes of the claimed subject matter were shipped. *See* Exhibit C. These three prototypes of the invention were made, tested, and worked for their intended purpose prior to June 29, 2001. The actual reduction to practice is further evidenced by copies of three digital photographs of one of the three prototypes referenced on the packing slip. *See* Exhibit D. For purposes of clarity, numerical labels have been added to these photographs as discussed below. *See id.* These photographs illustrate an embodiment of the claimed subject matter, including the device chassis 10 of a rack server, and a fan chassis 12. *See id.* The illustrated fan chassis 12 is not depicted in the fully installed or inserted position.

*See id.* The illustrated fan tray assembly or fan chassis 12 is configured to house multiple fans 14. *See id.* The illustrated perforations 16 on the front 18 of the fan chassis 12, and the substantially unobstructed rear 20 of the fan chassis 12, facilitate flow of air through the fan chassis 12 and into the device chassis 10. *See id.* In this illustrated embodiment, the fan chassis 12 is configured such that the perforations 16 are positioned on the inlet side of the fans 14, and the rear 20 of the fan chassis 12 is positioned on the discharge side of the fans 14. Moreover, the illustrated fan chassis 12 is configured such that air flows through the fan chassis 12 and the illustrated device chassis 10 whether the fan chassis 12 is in the installed position or extended position. *See id.*

I declare further that all statements made herein are of my own knowledge, are true and that all statements made on information and belief are believed to be true, and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Dated: 3-17-05

By:



Erik R. Nielsen

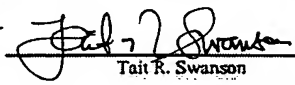
Declarant's Full Name: Erik R. Nielsen  
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Business Address: Hewlett-Packard Company  
MS: 090302  
20555 SH 249  
Houston, Texas 77070



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March 17, 2005	
Date	Tait R. Swanson

Sir:

**DECLARATION OF DANIEL T. THOMPSON UNDER 37 C.F.R. § 1.131**

I, Daniel T. Thompson am co-inventor together with Erik R. Nielsen, and hereby declare as follows:

1. I am a co-inventor of record of the invention disclosed and claimed in the above-referenced application.
2. My residence and business addresses are set forth below, along with my signature.
3. We conceived the subject matter disclosed and claimed in the above-referenced application prior to June 29, 2001. This conception is evidenced by a printout of an electronic message (email) prepared and electronically transmitted prior to June 29, 2001, and having an electronically attached zip file of computer-generated model pictures of an embodiment of the invention. See Exhibit A. The depicted file name of the zip file is

"GARDian\_SnapShots.zip." *Id.* Further, the depicted text in the body of the e-mail refers to the zip file attachment as "snapshot's [sic] taken from the GARDian Assembly." *Id.* A redacted printout of this e-mail, and a printout of one of the model pictures attached in the zip file are enclosed as Exhibits A and B, respectively. *See* Exhibits A and B. For purposes of clarity, numerical labels have been added to this printout of the model picture. *See* Exhibit B. This model picture illustrates an embodiment of the claimed subject matter, including a device housing or device chassis 10 of an electronic device (e.g., computer, rack server, etc.) and a fan tray or fan chassis 12 configured to support multiple fans 14. *See id.* The illustrated fan chassis 12 is inserted only partially within the illustrated device chassis 10. *See id.* Thus, in the model photo, the fan chassis 12 is depicted in an extended or extracted position. *See id.* The illustrated fan chassis 12, and the components thereon, are movable between an installed position (not shown) and an extended or extracted position (shown). *See id.* Furthermore, the fan chassis 12 has slots and/or supports for receiving and supporting multiple fans 14. In the embodiment of the model picture, the fans 14 are removable from the side of the fan chassis 12. *See id.* Moreover, a substantially or partially open back (not shown) of the fan chassis 12, and the illustrated perforations 16 on the front 18 of the fan chassis 12, facilitate airflow through the chassis 12 and into the device housing 10 of the electronic device, whether the fan chassis 12 is in the installed position (not shown) or an extended position (shown). *See id.*

4. The subject matter disclosed and claimed in the above-referenced application was actually reduced to practice in the United States prior to June 29, 2001 under my direction and the direction of my co-inventor, Erik R. Nielsen. This actual reduction to practice is evidenced by Exhibit C, which includes a redacted copy of a packing slip showing three completed prototypes of the claimed subject matter were shipped. *See* Exhibit C. These three prototypes of the invention were made, tested, and worked for their intended purpose prior to June 29, 2001. The actual reduction to practice is further evidenced by copies of three digital photographs of one of the three prototypes referenced on the packing slip. *See* Exhibit D. For purposes of clarity, numerical labels have been added to these photographs as discussed below. *See id.* These photographs illustrate an embodiment of the claimed subject matter, including the device chassis 10 of a rack server, and a fan chassis 12. *See id.* The illustrated fan chassis 12 is not depicted in the fully installed or inserted position.

*See id.* The illustrated fan tray assembly or fan chassis 12 is configured to house multiple fans 14. *See id.* The illustrated perforations 16 on the front 18 of the fan chassis 12, and the substantially unobstructed rear 20 of the fan chassis 12, facilitate flow of air through the fan chassis 12 and into the device chassis 10. *See id.* In this illustrated embodiment, the fan chassis 12 is configured such that the perforations 16 are positioned on the inlet side of the fans 14, and the rear 20 of the fan chassis 12 is positioned on the discharge side of the fans 14. Moreover, the illustrated fan chassis 12 is configured such that air flows through the fan chassis 12 and the illustrated device chassis 10 whether the fan chassis 12 is in the installed position or extended position. *See id.*

I declare further that all statements made herein are of my own knowledge, are true and that all statements made on information and belief are believed to be true, and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Dated: 3-12-05

By: 

Daniel T. Thompson

Declarant's Full Name: Daniel T. Thompson  
Country of Citizenship: U.S.A.  
Residence Address: 14127 Faulkey Gully  
Houston, TX 77070  
Business Address: Hewlett-Packard Company  
MS: 090302  
20555 SH 249  
Houston, Texas 77070



# EXHIBIT A

[REDACTED]

---

**From:** [REDACTED]  
**Sent:** [REDACTED]  
**To:** [REDACTED]  
**Cc:** [REDACTED]; Thompson, Daniel  
**Subject:** GARdian SnapShots

Here are the snapshot's taken from the GARdian Assembly. If you would like any other views, please feel free to contact me.

<<GARdian\_SnapShots.zip>>

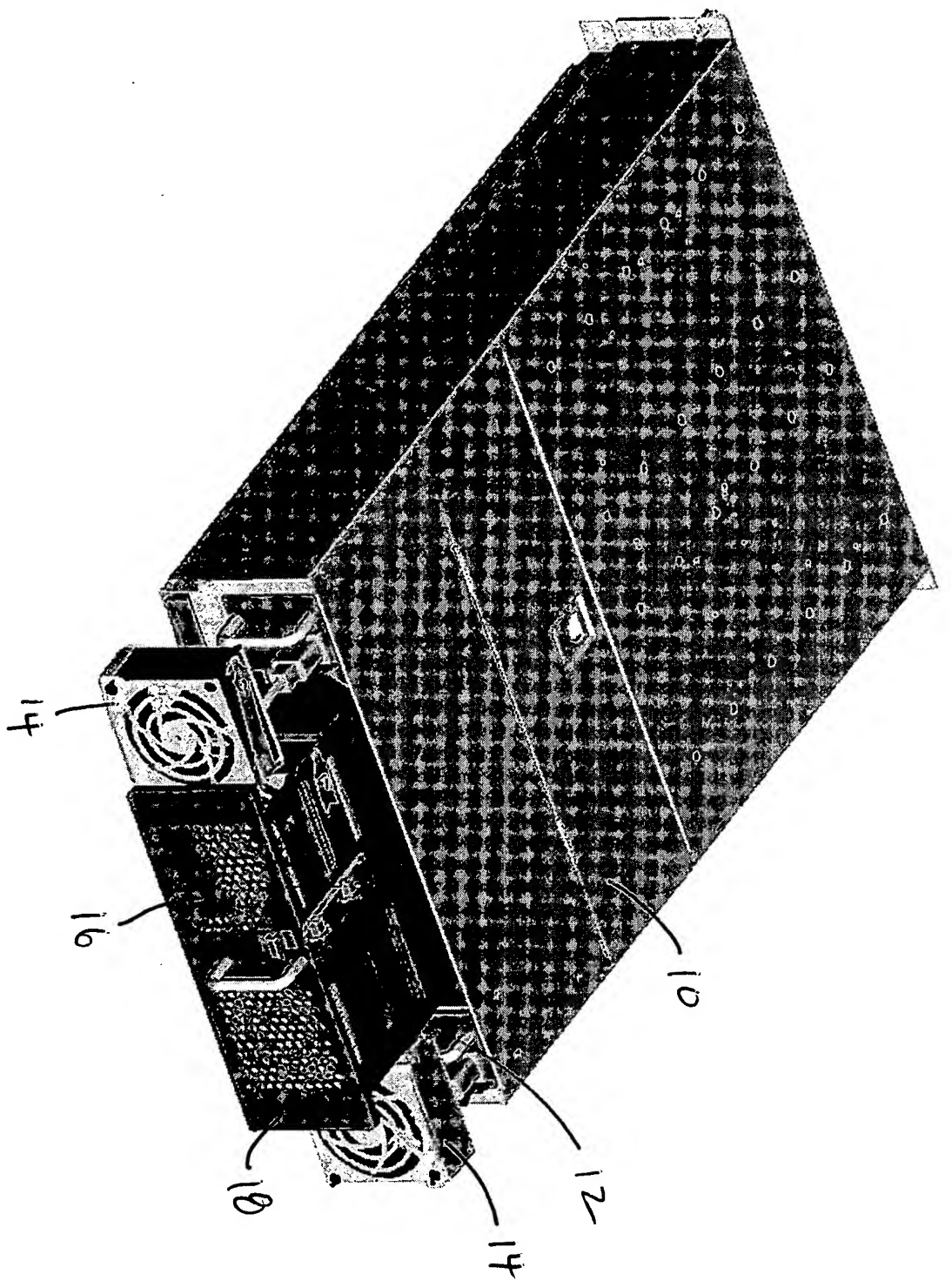
[REDACTED]  
**Mechanical Design, ISSG**

**PH:** [REDACTED]  
**Fax:** [REDACTED]  
**EM:** [REDACTED]

[REDACTED]



# **EXHIBIT B**



ACTIVE SUB-ASSEMBLY: 007\_GUARD.F

# EXHIBIT C

Q U O T A T I O N

## IRVING TOOL &amp; MANUFACTURING CO., INC.

To: COMPAQ COMPUTER CORPORATION  
20555 SH 249-BLDG.NRB  
HOUSTON, TX 77070

Date: [REDACTED]

Ref.:

Page: 1

Attention: [REDACTED]

We are pleased to quote you as follows:

Quantity	Description	Unit Price
5	Part # GUARDIAN, Rev. X1	[REDACTED]

NR/TOOLING [REDACTED]

## IRVING TOOL &amp; MFG. CO., INC.

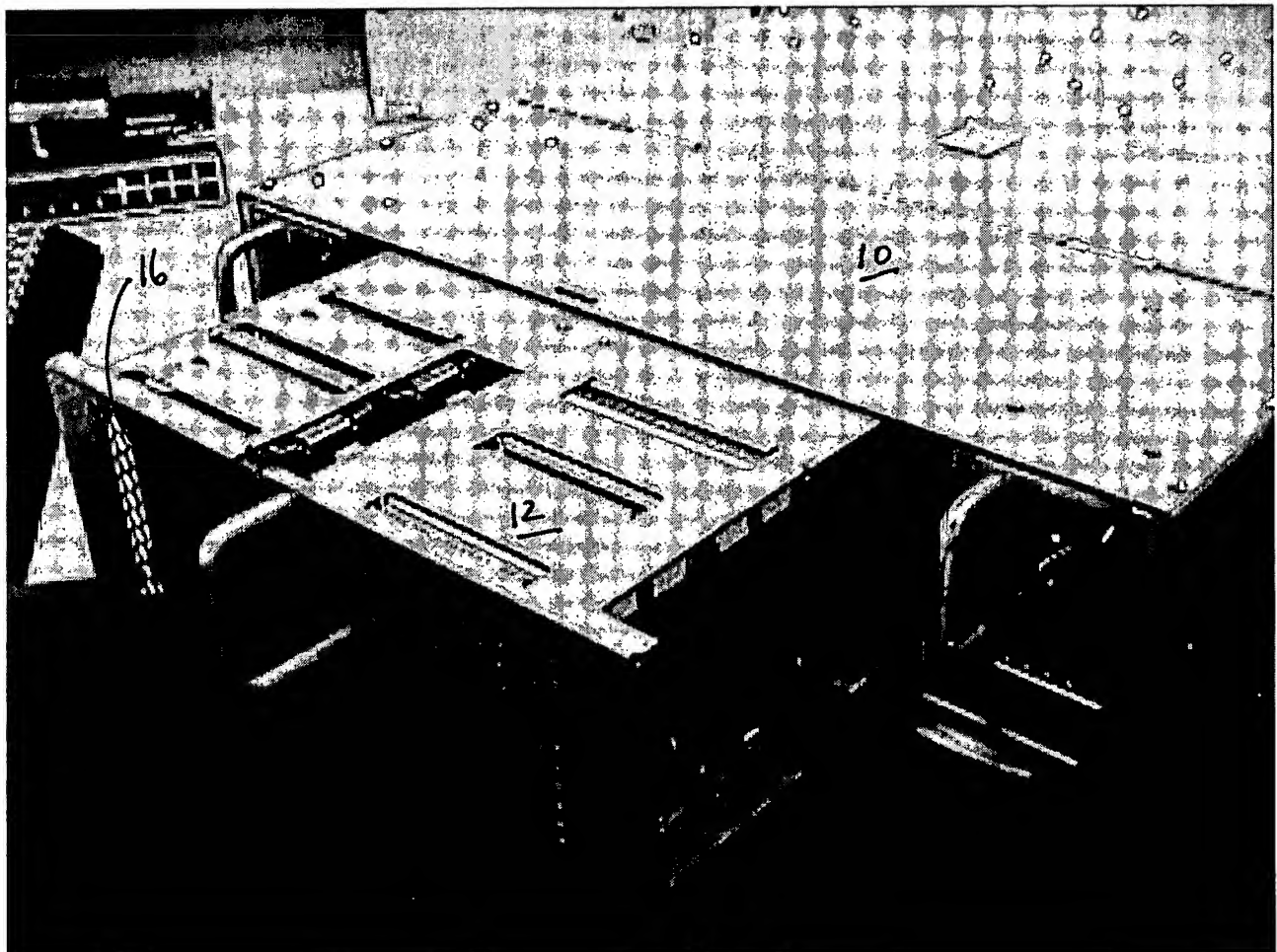
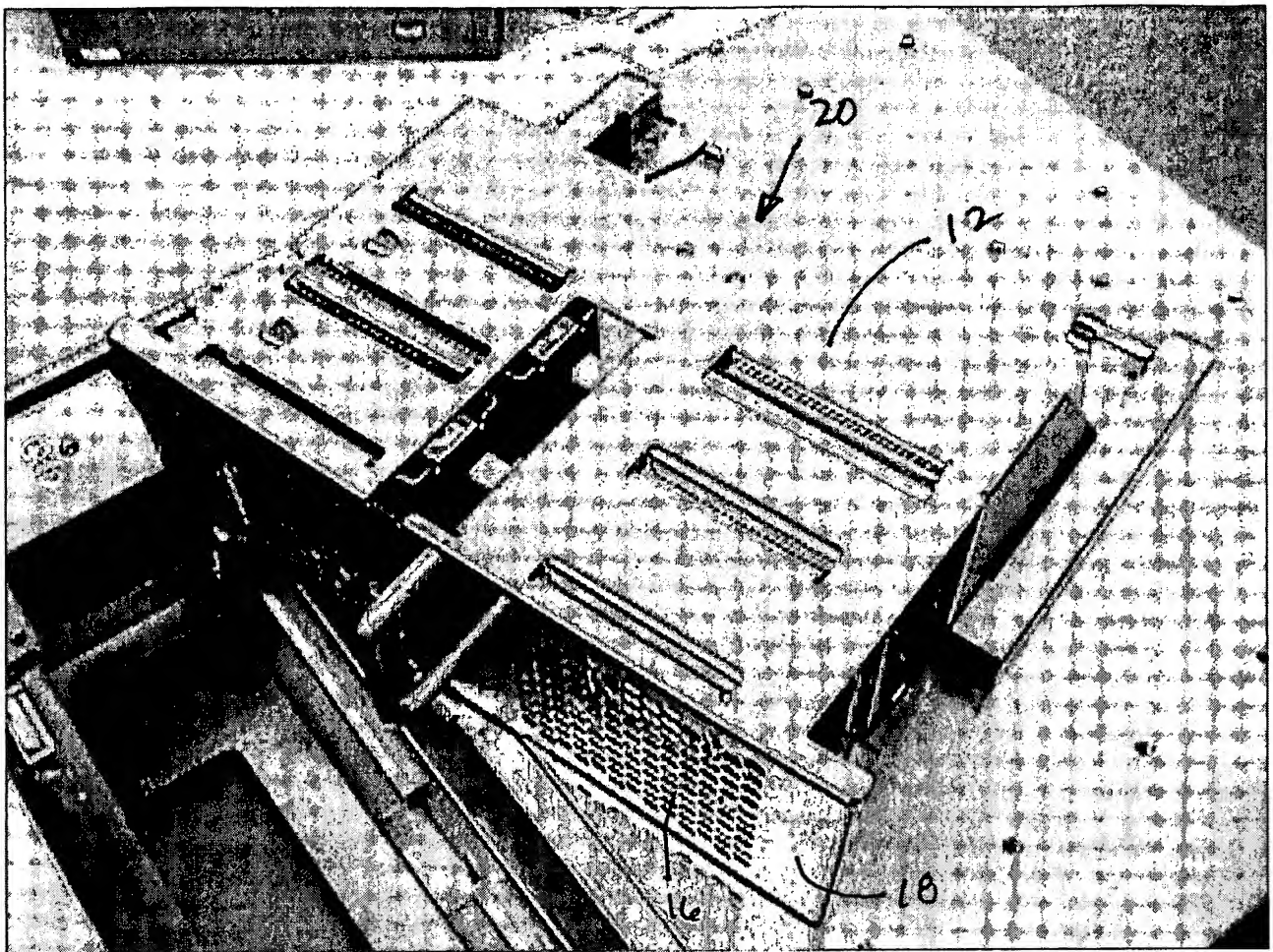
Delivery AS REQ'D

By [REDACTED]

TERMS: Net 30 Days  
PRICES: Quotes Are Firm for 60 Days  
F.O.B.: Garland, Texas

Liability on any customer supplied material  
and/or parts strictly limited to labor pro-  
vided by Irving Tool & Manufacturing Co., Inc.

# EXHIBIT D





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